

# **FOUNDATION OF RECORDS MANAGEMENT (IMD 123)**

## **CHAPTER 8 CLASSIFICATION**

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# LEARNING OUTCOME

- At the end of the course, students should be able to:
  - ✓ Understand the requirement of file classification development.
  - ✓ Differentiate between General Affairs Record/ Housekeeping files/ Administrative Files and Functional Records.
  - ✓ Understand the step in filing classification development in National Archive of Malaysia
  - ✓ Understand the functional classification in National Archive of Malaysia
  - ✓ Understand the filing system
  - ✓ Understand the coding system

# INTRODUCTION

- The National Archives Act 2003 [Act 629] mandates the National Archives of Malaysia (ANM) to manage government records in public offices from the creation stage to the disposal. In line with these provisions, the ANM has introduced several measures to transform government records management as well as to prepare electronic records management using the Electronic Records Management System (ERMS) application.
- The ANM has made the determination of the development of file classification based on functions including the record of General Affairs and Functional Affairs in compliance with the requirements in MS 2223: Information and documentation –Records Management Part 1 (General) and Part 2 (Guidelines). This file classification can help create records that can be used as valid evidence as it shows the content, structure and context of the creation.

# INTRODUCTION

- The use of file classification are based on functions across the public sector has been informed through the Service Circular No. 5 of 2007 - Office Management Guide. The development of these file classifications enables uniformity and coordination in systematic and efficient management of government records as well as facilitating accurate and timely access to information and improving the delivery of government services.

# **REQUIREMENTS FOR FILE CLASSIFICATION DEVELOPMENT**

- 1. Establish uniformity of file classification in public office.**
- 2. Preparation of Electronic Record Management System.**
- 3. Enables systematic record creation and retention to meet regulatory, investigative and compliance requirements to legal.**
- 4. Facilitate and accelerate record keeping to improve service delivery.**
- 5. Assist in the preparation of Records Disposal Schedule.**

# STEPS IN FILING CLASSIFICATION DEVELOPMENT

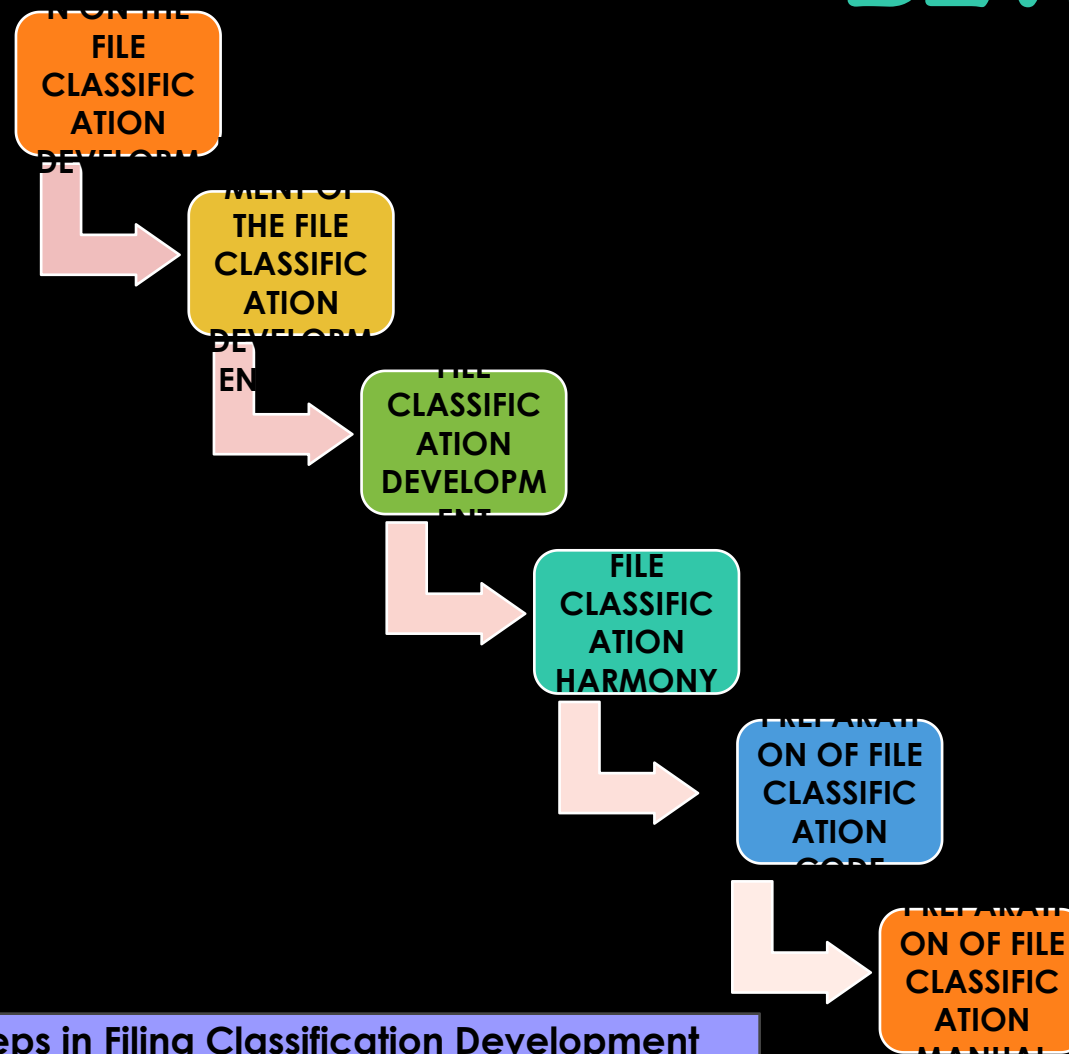


Figure 1: Steps in Filing Classification Development  
Source: Arkib Negara Malaysia, 2016.

# **STEPS IN FILING CLASSIFICATION DEVELOPMENT**

## **STEP 1: DISCUSSION ON THE FILE CLASSIFICATION DEVELOPMENT**

- **The Public Office should contact the ANM for discussion and advisory services on file classification development.**



# STEPS IN FILING CLASSIFICATION DEVELOPMENT

## STEP 2: ESTABLISHMENT OF THE FILE CLASSIFICATION DEVELOPMENT TEAM

- A team needs to be set up to carry out file classification development work. That team should include:

Head:	SUB BKP (Ministry Level) Director / Deputy Director Deputy Director (Department Level) Director / Assistant Director (State Department Level)
Secretary:	Chief Assistant Secretary / Assistant Administrative Officer / Records Officer
Members:	Head of Division / Section/ Legal Advisory Unit / Legal Officer Officers and staff related Clerk of the Records Department



# STEPS IN FILING CLASSIFICATION DEVELOPMENT

## STEP 3: FILE CLASSIFICATION DEVELOPMENT

### 1. FUNCTIONAL ANALYSIS AND ACTIVITY

- Functional file classification is developed by analyzing, identifying and organizing functions and activities, sub-activities and transactions performed by a Public Office to facilitate systematic and consistent record-keeping, use, maintenance and disposal of records.
- Functional analysis is based on information obtained from:
  - a. Objectives and functions of the department
  - b. The vision and mission of the department
  - c. Functional charts
  - d. Department annual report
  - e. List of existing files
  - f. Activities carried out

# STEPS IN FILING CLASSIFICATION DEVELOPMENT

## 2. FILE CLASSIFICATION HIERARCHY

- The identified functions, activities, sub-activities and transactions should be grouped and organized in a hierarchy. The hierarchy developed must not exceed 4 levels as outlined in Clause 4.2.2.2 in MS 2223-2: 2009. These 4-stage resolutions are important to facilitate this classification to be applied in both conventional and electronic environments.

### a. Functions

-refer to the primary / specific responsibilities that a Public Office performs in achieving its objectives.

### b. Activity

-refers to the activities performed by a Public Office in achieving its specific function.

### c. Sub-activities

-specific activities that are performed under the activity.

### d. Transactions

-files with specific titles under a sub-activity. It ranks fourth in the File Classification and contains documents related to the title of the file.



Figure 2: Example of Hierarchical Structure  
Source: Arkib Negara Malaysia, 2016.

# STEPS IN FILING CLASSIFICATION DEVELOPMENT

## 3. VOCABULARY CONTROL

- Public Offices need to establish vocabulary controls used in grouping files by function, activity, sub-activities and transactions. The vocabulary used at each stage of the hierarchy must include the lower levels as arranged in the encyclopedia. This control ensures that vocabulary related to the function of the Public Office is used only. Refer to Clause 4.2.3.1 in MS 2223-2: 2009.
- In addition, the following must also be considered in controlling vocabulary:
  - a. Avoid using synonyms that have almost identical meanings.
  - b. Avoid using homograph words that have the same spelling but have two different meanings.
  - c. Avoid using acronyms that are short for words.
  - d. The term used must be a noun rather than a verb.

# STEPS IN FILING CLASSIFICATION DEVELOPMENT

## 4. PROVISION OF CLASSIFICATION DESCRIPTION

- All of the functions and activities listed should provide a complete and complete description. It should describe the scope of functions, activities, sub-activities and transactions that can facilitate the filing and search of information using keyword search.
  - a. The Functional level description will contain the headings of all activities listed in the classification hierarchy.
  - b. The Activity level description will list the titles of all sub-activities that are included in the classification.
  - c. Sub-activity description will consist of all transaction headings (files).
  - d. The Transaction level description will consist of the scope of the contents of the file and should be provided in detail and in-depth. The description will help civil servants choose the right file to enter the letter. Detailed descriptions can also avoid mistakes in filing work.

# STEPS IN FILING CLASSIFICATION DEVELOPMENT

## STEP 4: FILE CLASSIFICATION HARMONY

- All draft functional file drafts that have been developed need to be harmonized between the Office of the Public Office File Classification Development Team and the ANM File Classification Development Team.

### 1. HARMONY AT PUBLIC OFFICE AND ANM FILE CLASSIFICATION DEVELOPMENT TEAM

- During harmony, make sure:
  - a. General Records are compiled according to the General Records Classification (Housekeeping) template.
  - b. All additional series of activity levels or sub-activities of General Affairs and Functional records should be listed in harmonic format.

# STEPS IN FILING CLASSIFICATION DEVELOPMENT

## 2. FILE CLASSIFICATION HARMONY

All draft functional file drafts that have been developed need to be harmonized between the Office of the Public Office File Classification Development Team and the ANM File Classification Development Team.

The draft file classification should be submitted to the ANM for harmonization at the level of the ANM File Classification Committee.

1. Draft file classification should be submitted to the ANM for harmonization at the level of the ANM File Classification Committee.
2. The Public Office must make amendments to the draft file classification as recommended by the ANM File Classification Committee.
3. The revised file classification must be submitted for approval by the ANM File Classification Committee. After review the ANM will send the approval letter.



# STEPS IN FILING CLASSIFICATION DEVELOPMENT

## STEP 5: PREPARATION OF FILE CLASSIFICATION CODE

### 1. CODE GRANT

- Each function, activity, sub-activity and transaction organized in the approved classification hierarchy must be coded. The ANM sets the Number Block System Code for all General Affairs records from **100 to 500 for use by all Public Offices**. While code number **600 and above** will be used for the **Functional Records** (core business).

General Affairs Record (for all Public Offices)  
/ Housekeeping files/ Administrative Files

- 100 - Administrative Management
- 200 - Land, Building and Infrastructure Management
- 300 - Asset Management
- 400 - Financial Management
- 500 - Human Resource Management

### Functional Records

Example 1: National Archives of Malaysia

- 600 - Records Management
- 700 - Archives Administration
- 800 - Memorial Archives

Example 5: University of Sabah

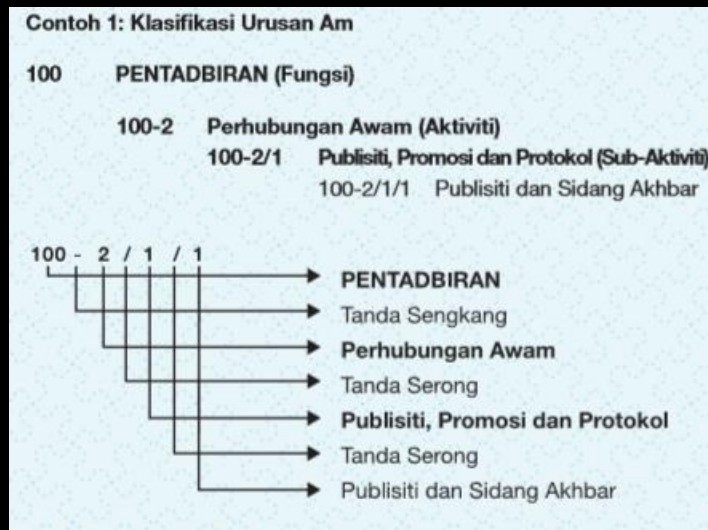
- 600 - University Management
- 700 - Student Affairs Alumni
- 800 - Research and Innovation



# STEPS IN FILING CLASSIFICATION DEVELOPMENT

## 2. ADJUSTING THE USE OF SPLIT MARKS

- The markers used to separate functions, activities, sub-activities and transactions should be adjusted as follows:
  - a. Dashes (-) should be used to separate functions and activities.
  - b. The oblique (/) should be used to separate activities, sub-activities and transactions .



**Figure 3: Example of Classification Development**  
*Source: Arkib Negara Malaysia, 2016.*

# STEPS IN FILING CLASSIFICATION DEVELOPMENT

## 3. PUBLIC OFFICE ABBREVIATION

- Each file classification code that has been developed should start with the abbreviation of the Public Office as follows:
  - a. UPM - Universiti Putra Malaysia
  - b. MAMPU - Administrative Modernization and Management Planning Unit
- Public Offices need to use an acronym agreed with the ANM in preparing a file classification scheme to avoid confusion over overlapping the use of the same acronym with other Public Offices.
- The ANM will establish a master list of abbreviations for Public Office for regulatory purposes.

# STEPS IN FILING CLASSIFICATION DEVELOPMENT

## STEP 6: PREPARATION OF FILE CLASSIFICATION MANUAL

- Once the file classification has been completed, the Public Office must provide a manual explaining:
  - a. method of using file classification.
  - b. classification code.
  - c. methods of opening, naming and closing files.
  - d. other matters concerning file classification and file handling that the Public Office staff should know
- This File Classification Manual should be updated by the Public Office from time to time in the event of any changes or additional functionality.

# THE IMPLEMENTATION OF FUNCTIONAL CLASSIFICATION

- a. Classifications of files prepared by the Public Office and approved by the ANM should be made known to all Public Office staff before their use is extended.
- b. The Public Office is requested to seek advice from the ANM for a detailed explanation of these procedures.
- c. File Classification and File Classification Manual must also be available for reference and use by all employees who create, receive or use records. It can be provided as follows:
  - physical copies
  - uploaded to an intranet or website
  - others
- d. Training sessions should be held to enhance staff skills in file classification as well as to provide knowledge to new staff.
- e. Monitoring of file classification usage should be carried out at all times to ensure that records are properly created and filed. This monitoring should be carried out carefully and in depth from the beginning to:
  - strengthen understanding of file classification .
  - detect and correct file-filing errors.
  - help identify the need for improved work processes.
- f. Each Public Office must also provide a mechanism for staff to obtain additional information or assistance with the classification of the file and to submit additional suggestions

# **UPDATING THE PUBLIC OFFICE FILE CLASSIFICATION**

- **Public Office should update the file classification in the event of:**
  - a. restructure**
  - b. enhancement or reduction of function**
  - c. whole or part of the function is deprecated.**
- **The classification of files developed under this guide will enable the Public Office to comply with the requirements of the record management program in accordance with MS 2223: Information and documentation - Records Management Part 1: General and Part 2: Guidelines and fulfill some of the prerequisites for implementing the use of management system applications electronic records (ERMS).**
- **In addition, this file classification can also facilitate the achievement of information to make decisions and improve the efficiency of service delivery. Although the development of file classification based on functionality takes time, however, the high commitment of the management in the public office helps to drive and enable it and ensure that it runs smoothly.**



# EXAMPLE OF DESCRIPTION FORMAT

CONTOH FORMAT DESKRIPSI				
FUNGSI	AKTIVITI	SUB-AKTIVITI	TRANSAKSI	DESKRIPSI
PENTADBIRAN				Perkara-perkara berkaitan perundangan, perhubungan awam, program kerjasama dalam dan luar negara, laporan dan perangkaan, pengurusan mesyuarat, kemudahan, pertubuhan dan kelab, pembaharuan pentadbiran, pengurusan pejabat, majlis/sambutan/ perayaan dan penerbitan.
	Perhubungan Awam			Perkara-perkara berkaitan aktiviti publisiti, promosi dan protokol, pertanyaan kementerian/jabatan/ agensi, pelanggan, lawatan, makluman pertukaran, pemberitahuan perkhidmatan dan tawaran, ucapan penghargaan, takziah atau perutusan.
		Pelanggan		Perkara-perkara berkaitan aduan pelanggan, hari bertemu pelanggan, Jawatankuasa Kajian Kehendak/Kepuasan Pelanggan dan aduan kepada kementerian/orang awam.
			Aduan Pelanggan	Perkara-perkara berkaitan aduan pelanggan, jawapan/ aduan penerimaan aduan, statistik penerimaan bulanan/ suku tahun/ tahunan aduan pelanggan, maklumbalas tindakan yang telah diambil, ketidakpuasan layanan semasa lawatan, dan penyenarai aduan mengikut kategori.

Figure 4: Example of Description Format  
Source: Arkib Negara Malaysia, 2016.

# EXAMPLE OF FUNCTIONAL CLASSIFICATION SCHOOL IN PAHANG

CONTOH KLASIFIKASI FUNGSIAN SEKOLAH-SEKOLAH NEGERI PAHANG				
KOD	FUNGSI/ AKTIVITI/ SUB-AKTIVITI	KOD	TRANSAKSI / FAIL	DESKRIPSI
600	TADBIR URUS SEKOLAH			Perkara-perkara berkaitan tadbir urus sekolah, dasar, peraturan, takwim, kurikulum, peperiksaan, pemantauan Pengajaran Dan Pembelajaran (P & P) dan naziran.
600-1	Dasar dan Peraturan			Perkara-perkara berkaitan penyediaan dasar, peraturan dan garis panduan.
600-1/1	Penyediaan Dasar dan Peraturan	600-1/1/1	Garis Panduan Disiplin	Perkara-perkara berkaitan penyediaan garis panduan disiplin, hukuman dan denda bagi kesalahan yang dilakukan mengikut kategori.
		600-1/1/2	Buku Panduan Peraturan Sekolah	Perkara-perkara berkaitan penyediaan buku panduan dan draf peraturan sekolah.
		600-1/1/3	Peraturan Asrama	Perkara-perkara berkaitan penyediaan buku panduan dan draf peraturan asrama.
600-2	Takwim Sekolah			Perkara-perkara berkaitan takwim dan jadual waktu kelas.
600-2/1	Jadual Waktu Persekolahan	600-2/1/1	Jadual Waktu Induk/Kelas	Perkara-perkara berkaitan penyediaan, penyemakan dan pelaksanaan Jadual Waktu induk/ kelas sekolah.
		600-2/1/2	Jadual Waktu Peribadi	Perkara-perkara berkaitan penyediaan Jadual Waktu peribadi setiap guru dan kakitangan.
		600-2/1/3	Jadual Waktu Kelas Bimbingan	Perkara-perkara berkaitan penyediaan Jadual Waktu Kelas Bimbingan/Tambahan sekolah.
		600-2/1/4	Jadual Waktu Anjal	Perkara-perkara berkaitan penyediaan dan pelaksanaan Jadual Waktu Anjal sekolah.
		600-2/1/5	Jadual Guru Gantian	Perkara-perkara berkaitan penyediaan Jadual Waktu Guru Gantian.

600-3	Kurikulum			Perkara-perkara berkaitan standard kurikulum sekolah, jawatankuasa panitia mata pelajaran.
600-3/1	Kurikulum Standard Sekolah	600-3/1/1	Jawatankuasa Panitia Bahasa Melayu	Perkara-perkara berkaitan urusan mesyuarat, minit mesyuarat, maklumat guru panitia, perancangan pelajaran, sukatan, pencapaian, kertas soalan, modul serta dokumen berkaitan Jadual Waktu Guru Gantian subjek Bahasa Melayu.
		600-3/1/2	Jawatankuasa Panitia Bahasa Inggeris	Perkara-perkara berkaitan urusan mesyuarat, minit mesyuarat, maklumat guru panitia, perancangan pelajaran, sukatan, pencapaian, kertas soalan, modul serta dokumen berkaitan Jadual Waktu Guru Gantian subjek Bahasa Inggeris.
		600-3/1/3	Jawatankuasa Panitia Matematik	Perkara-perkara berkaitan urusan mesyuarat, minit mesyuarat, maklumat guru panitia, perancangan pelajaran, sukatan, pencapaian, kertas soalan, modul serta dokumen berkaitan Jadual Waktu Guru Gantian subjek Matematik.
		600-3/1/4	Jawatankuasa Panitia Sains	Perkara-perkara berkaitan urusan mesyuarat, minit mesyuarat, maklumat guru panitia, perancangan pelajaran, sukatan, pencapaian, kertas soalan, modul serta dokumen berkaitan Jadual Waktu Guru Gantian subjek Sains.
		600-3/1/5	Jawatankuasa Panitia Fizik	Perkara-perkara berkaitan urusan mesyuarat, minit mesyuarat, maklumat guru panitia, perancangan pelajaran, sukatan, pencapaian, kertas soalan, modul serta dokumen berkaitan Jadual Waktu Guru Gantian subjek Fizik.
		600-3/1/6	Jawatankuasa Panitia Kimia	Perkara-perkara berkaitan urusan mesyuarat, minit mesyuarat, maklumat guru panitia, perancangan pelajaran, sukatan, pencapaian, kertas soalan, modul serta dokumen berkaitan Jadual Waktu Guru Gantian subjek kimia.

Figure 5: Example of Functional Classification  
Source: Arkib Negara Malaysia, 2016.



# FILING SYSTEM

- Small organisation – provide subject list
- Large organisation – provide controlled vocabulary and Index

# FACTORS CONSIDERED IN CHOOSING THE RIGHT FILING SYSTEM

Choosing the right filing system depend on the following factors:

1. the **size and complexity** of the organisation
2. the **range** of its business
3. the **quantity of files** and other records
4. the **presence of case files**
5. the **rate of creation of new files** and records
6. the **cost** of installing and maintaining the system
7. the **ease or difficulty** with which the files and records can be organised into mutually exclusive categories reflecting specific functions and activities
8. the **training** required to operate and sustain the system
9. the **skills level** of the records staff.

# REQUIREMENTS OF A FILE CLASSIFICATION SYSTEM

- Should support business/organisational requirements
- Should be easy to understand, use and maintain
- Should be precise
- Should be complete and comprehensive
- Should be backed up by a procedures manual and training materials.
- Should be easily automated

# **TYPES OF FILING SYSTEM**

- 1) Simple Classification System**
- 2) Functional/Activity Based Classification System**
- 3) Hierarchical Classification System**
- 4) Organizational Structure Based Classification System**
- 5) Keyword Code Classification System**
- 6) Alphabetical Classification System**

# TYPES OF FILING SYSTEM

## 1) Simple Classification System

- Represent a set of file titles arranged alphabetically in one series.
- No file reference number, no index, no controlled vocabulary for the file titles.
- Practical for small office with no more than 30 to 50 files and little expansion.
- Imposed a coding system (file 01, file 02 & so on)

# TYPES OF FILING SYSTEM

## Advantages:-

- Easy to understand
- Minimal set up costs
- Not dependent on rules or well trained staff
- Reference number not compulsory

## Disadvantage :-

- Arbitrary (random) arrangement, not based on logic. Depend upon memory
- User dependent – users choose titles
- Retrieval issues – if systems expands
- Misfiling – as number of files grows
- System breakdown as it expands
- Does not permit (authorize) proper file referencing

# TYPES OF FILING SYSTEM

Suitable for :-

- Single series records system
- 50 files or less
- Low number of users
- Static system (does not expand)



# TYPES OF FILING SYSTEM

- Ex: A - Accounting
  - A- Audit
  - A – Advertisement
  - B – Business Report
  - B – Building
  - B - Budget

# TYPES OF FILING SYSTEM

## 2) Function / activity based Classification System

- Most easily understood arrangement of file.
- Sometimes difficult to make distinction between activities.
- Lead Confusion in assigning files to their place in the classification scheme.
- Ex: if there is a sub-series of files dealing with 'Training' and another dealing with 'Computerization', to which sub-series should a file dealing with 'Computer Training' be assigned?

# TYPES OF FILING SYSTEM

## 3) Hierarchical Classification System

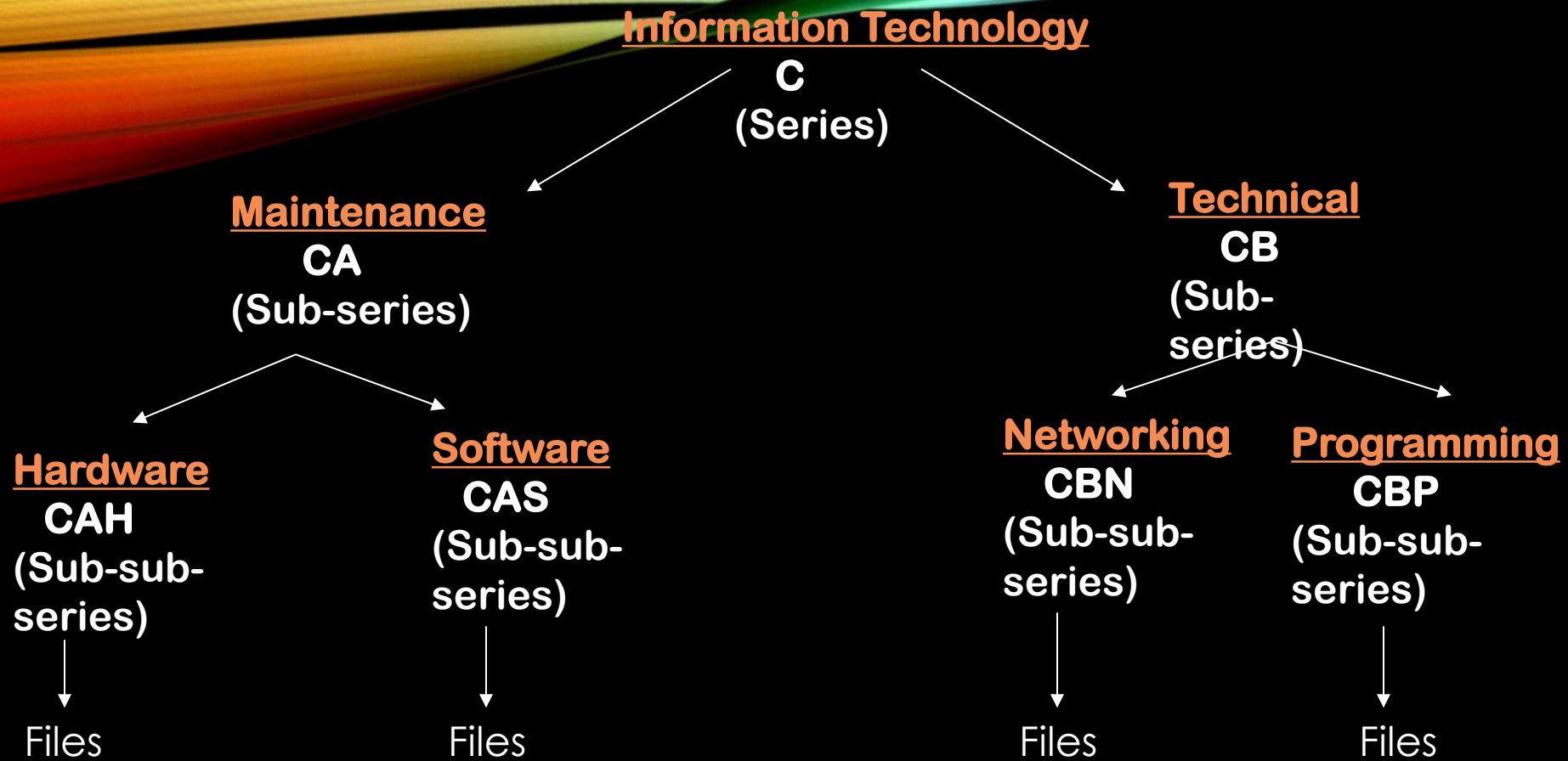
- Designed to break down the business of an organization into an hierarchy of levels.
- Number of levels in the hierarchy will depends on the degree to which the organization's work can be broken down into well- defined areas.
- The number of levels will also depend on the number of files or records likely to be created in each area.
- At the top of the hierarchy are the broad functions (series).
- These are subdivided into narrower functions or activities, represented by sub-series, which in turn may be broken down into activities or subjects.
- Also can be mapped /broken down to organizational structure.

# **TYPES OF FILING SYSTEM**

**e.g. :- Building (broad function/series)**

**Maintenance (Narrower series)**

**Painting (activity/sub-sub-series)**



Summary of Coding	
C – Information Technology	
CA – Maintenance	CB – Technical
CAH – Hardware	CBN – Networking
CAS – Software	CBP – Programming

**Figure: Multi-level Hierarchical Structure Of The Broad Function With Coding**

# TYPES OF FILING SYSTEM

- As functions are broken down into **narrower units**, more precise organization of the records is seen.
- In a well designed hierarchical systems, files are **easily found**.
- A well-designed hierarchical systems permits the **easy transfer of files** to another records office in the event of a reorganization of functions and activities.

Suitable for :-

- Large, more complex systems. 100 to 1000++ files.
- Multiple users
- Systems in which accurate mapping of file series to functions/activities is possible
- Systems shared by agencies /branches /department

# TYPES OF FILING SYSTEM

## Advantages:-

- Easy to understand, if well designed
- Allows multiple series and sub-series
- Suitable for any system from simple to multi-level
- Logical structure allows greater precision
- Less reliance on memory if used with controlled vocabulary/index
- Allow large expansion in number of files
- Can show logical relationship between records
- Appropriate for policy and administration files,
- Allows detachment (separate, not connected) of functions when reorganization occur.



# TYPES OF FILING SYSTEM

## Disadvantages:-

- Depends on the accuracy analysis of functions and activities
- Analysis must be kept up to date
- Requires careful and accurate maintenance
- Can cause uncertainty if functions and activities overlap or unclear
- Setup costs relatively high
- Requires consistency and precision, trained operators
- Larger systems requires controlled vocabulary
- Large shared systems will require multi-levels, leading to greater complexity
- Requires a skilled filing manager/system administrator

# TYPES OF FILING SYSTEM

## 4) System based on Organizational Structure

- Reflects the **administration structure** of an organization and the work carried out at **each level**.
- In this sense they are also hierarchical because organizational structure is generally **based on the division of functions**.
- This system is **difficult to adapt** if there is an **administrative change or restructuring**. It may be **difficult to classify and file records** when work is **shared between departments or branches**.
- This system **may not fit well with appraisal and disposal process** that reflects functions rather than organization.

# TYPES OF FILING SYSTEM

## 5) Keyword Code Classification system

- Keyword code system **organize files into series**.
- It does not matter whether a file on 'computer training' is classified under 'Training' or 'Computerization' because the keyword index will enable the file to be found under either term.
- Classification based on **well designed keyword or controlled vocabulary** will be able to bring together functions, activities and subjects.
- Because files on the same or closely related subjects are indexed by the same keywords, they will be **drawn together in the file index**.

# TYPES OF FILING SYSTEM

- Keyword can represent functions, activities, transactions, subject, themes or even proper names.
- In keyword code system, the keyword index is the main retrieval tool.
- Keyword code system enforces discipline of indexing each files, by its title or content, under at least 2 keywords taken from controlled vocabulary or keyword list. If it is carried out accurately, the result can be a powerful and reliable classification and retrieval tool.
- Keyword code system can be powerful and reliable if well developed and well managed

# **TYPES OF FILING SYSTEM**

Suitable for :-

- Large systems if well managed
- 100 to 1000+ files
- Multiple users
- Organization wide systems

# TYPES OF FILING SYSTEM

## Advantages :-

- Once mastered, easy to used
- One system can work for many agencies
- Allows for expansion and insertion of new files
- Efficient retrieval if indexing is accurate
- Enforces discipline of indexing
- Index structure forces degree of precision
- Provides relatively simple classification scheme
- Index shows linkage of files
- Requires minimal control documents
- Can operate successfully even when distinction between activities and functions unclear

# TYPES OF FILING SYSTEM

## Disadvantages:-

- Seems as a complex system
- Dependent upon careful accurate keyword index
- Retrieval is dependant upon accuracy of file indexing
- Setup cost is high
- Trained operators required
- Skilled administrators required
- Can collapse if control documents are not maintained
- Less easy to see relationship between series and sub-series
- Difficulties can be caused by functions detachment
- File references have little meaning for action officers
- Requires monitoring by skilled record managers



# TYPES OF FILING SYSTEM

## 6) Alphabetical system

- Arrangement is by the **name of a person, place or institution**.
- Have the advantage of being **self – indexing**.
- However the indexing can only be **based on one term** (for example, the surname) unless computer retrieval is possible.
- Alphabetical system **requires specific instruction** for arrangement (such as letter by letter or word by word).
- These systems depends on **accurate filing**, to sort item alphabetically with complete reliability.
- This system is **easy to operate and self indexing** but they result in an **inefficient use of storage space**.
- New files have to be **fitted in existing sequence** making it necessary to move files **frequently to create more space**.

# **CODING SYSTEM**



**Coding – Generates codes / reference numbers.**

- **Provide concise and unique series and file identifications.**
  - **Indicate logical relationships between series and between file within a series**
- = Important for appraisal.**
- = A guide to archival arrangement when the physical order has been disturbed.**



# **CODING SYSTEM**

## **CODING SYSTEM**

**A representation of a classification scheme, in letters and/or numbers and in accordance with a pre-established set of rules.**

# MAIN FEATURES OF CODING SYSTEM

The **main features** of a coding or reference as follows:

- It must generate **unique** reference numbers for each item to be classified.
- It should be as **simple** as possible.
- It should provide a **self-evident order**: that is, the arrangement of items within the system should be **logical and predictable**.
- It should be **unambiguous** in form or format: for example, there should be no choice about upper or lower case letters or the presence or absence of an element
- Its elements should **be clearly distinguishable** from each other: for example AB/45/89/01.

# **TYPES OF CODING SYSTEM**

1. Decimal System
2. Multi-part System
3. Alphanumerical System
4. Running number System
5. Block Number System
6. Keyword Code System

# TYPES OF CODING SYSTEM

## 1.0 DECIMAL CODING SYSTEM

Based on **two numerical sequence**, one before and the other after a decimal point

- The first number (primary) number of two, three or four digits represents the main subject of the series. Ex:

**575 = Building Maintenance**

- Gaps may be left in the sequence of numbers to accommodate new functions or activities.
- The number after the decimal point represents an aspect of the main subject (sub-series / grouping of files). Ex:

**575.03 = Building Maintenance:Painting**

Followed by the **individual file number** = **575.03.01**



# TYPES OF CODING SYSTEM

## 2.0 MULTI-PART SYSTEM

Similar to decimal system

- Can produce long and clumsy codes and may generate a range of reference numbers that contain a different number of elements
- Based on a combination of numerical or alphanumerical codes.
- Each code represents one of the levels (sub levels) of arrangement and is separated from the next by a slash (/). Ex:

57/05/03 could be the code for a file in the sub series :

Buildings : Maintenance : Painting

68/42 could be the code for a file in the sub series :

Motor Vehicles : Maintenance

# TYPES OF CODING SYSTEM

## 3.0 ALPHABETICAL/ALPHANUMERIC SYSTEM

Can be used in combination with alphabetical codes or letters.

- The letters represents the series level of file organisation. Applying letter codes to lower levels, particularly meaningful codes. Ex:  
**Sta f : Leave : Flexible** working is represented by **STA/LEA/FLX**
- Such coding is vulnerable because the system may quickly run out of meaningful codes. Codes also will lose their meaning when functions are reorganised or names are changed.
- **Alphabetical coding systems** based on non meaningful letters are easily expandable but difficult to maintain as the system grows

# TYPES OF CODING SYSTEM

## 4.0 RUNNING NUMBER SYSTEM

Next number running in sequence irrespective of the subject file

- Totally dependent upon a reliable index or computerised retrieval system
- Suitable for case file where the subject matter is essentially the same but where each file relates to an individual case

Problem:

- Lack the facility to provide linkages between related files created at different times
- Obvious problem can arise as files are mixed together in a random order regardless of their different ongoing values
- Liable to human error as it is easy to confuse or transpose numbers in string of 4, 5, 6 or more digits and consequently misfile papers, misplaced file

# TYPES OF CODING SYSTEM

## 5.0 BLOCK NUMBER SYSTEM

- Include a top level classification according to function and activity
- Functions and activities are allocated number sequentially within the block

# TYPES OF CODING SYSTEM

## 6.0 KEYWORD CODE SYSTEM

Such system assign numerical codes to keyword representing activities or subject dealt with in the file

- keywords taken from a master keyword list
- Keyword list is a controlled vocabulary

# SUMMARY

**Chapter 8 has introduced the classification which covered the following terms:**

- **Requirements For File Classification Development.**
- **Steps In Filing Classification Development.**
- **The Implementation Of Functional Classification.**
- **Types of Filing system**
- **Types of Coding system**